

Some techniques for shading machine renderings of solids

by ARTHUR APPEL
IBM Research Center
Yorktown Heights, N. Y.

INTRODUCTION

Some applications of computer graphics require a vivid illusion of reality. These include the spatial organization of machine parts, conceptual architectural design, simulation of mechanisms, and industrial design. There has been moderate success in the automatic generation of wire frame,¹ cardboard model,² polyhedra,^{3,4} and quadric surface⁵ line drawings. The capability of the machine to generate vivid stereographic pictures has been demonstrated.⁶ There are, however considerable reasons for developing techniques by which line drawings of solids can be shaded, especially the enhancement of the sense of solidity and depth. Figures 1 and 2 illustrate the value of shading and shadow casting in spatial description. In the line drawing there is no clue as to the relative position of the flat plane and the sheet metal console. When shadows are rendered, it is clear that the plane is below and to the rear of the console, and the hollow nature of the sheet metal assembly is emphasized. Shading can specify the tone or color of a surface and the amount of light falling upon that surface from one or more light sources. Shadows when sharply defined tend to suggest another viewpoint and improves surface definition. When controlled, shading can also emphasize particular parts of the drawing. If techniques for the automatic determination of chiaroscuro with good resolution should prove to be competitive with line drawings, and this is a possibility, machine generated photographs might replace line drawings as the principal mode of graphical communication in engineering and architecture.

A picture strictly rendered in chiaroscuro defines the scene in a dark and light area pattern, colored or in tones of grey and no lines are made. Rembrandt and Reubens were masters of chiaroscuro. In order to simulate the chiaroscuro of a photograph many difficult problems need to be solved such as the effect of illumination by direct and diffuse lighting, atmospheric diffusion, back

reflection, the effect of surface texture, tonal specification, and the transparency of surfaces. At present, there is the additional problem of hardware for display of the calculated picture. Devices presently available use lines or points as the principal pictorial element and are not comparable to oil paint, or wash, or crayon in the ability to render the subtle changes in tone or color across an area. The best we can hope to do is to simulate the half-tone process of printing.

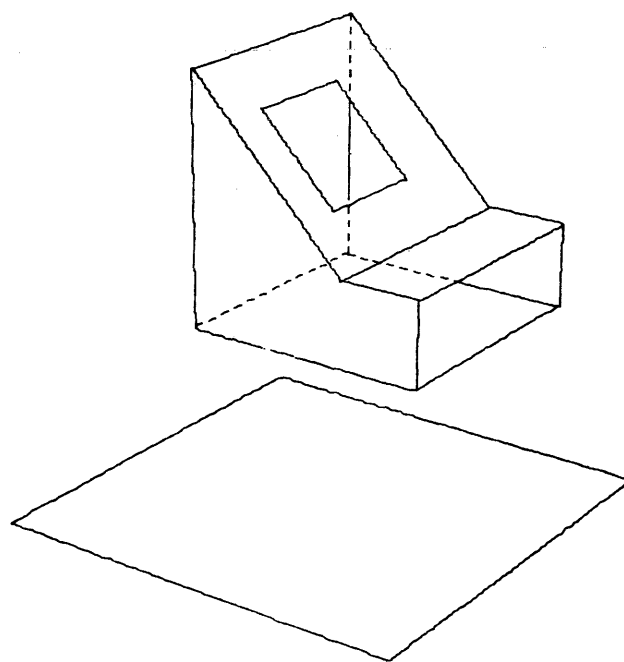


Figure 1—A machine generated line drawing of an electrical console and an arbitrary plane in space

This paper presents some recent experimental results in the automatic shading of line drawings. The purpose of these experiments was to generate pictures of objects consisting of flat surfaces on a digital plotter and to evaluate the cost of generating such pictures and the resultant graphical quality.

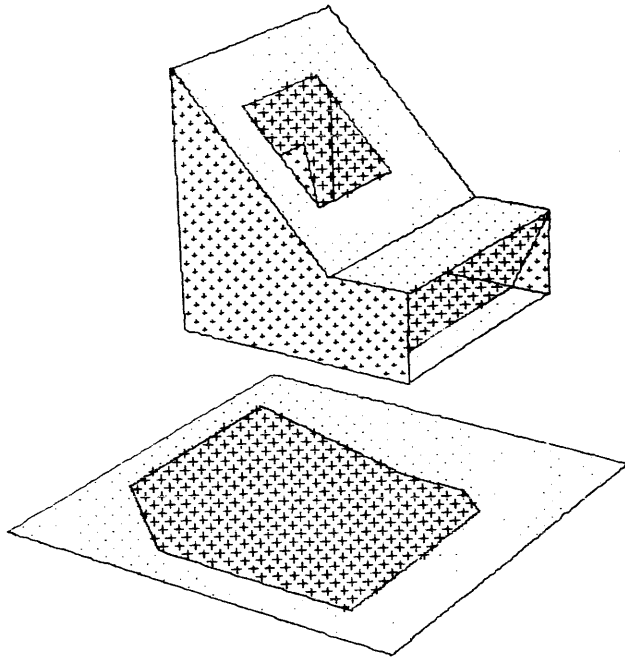


Figure 2—A shaded line drawing of the scene in Figure 1

Previous work

Considerable work has been done in the digitizing of photographs.^{7,8} Especially successful are the pictures transmitted from spacecraft.⁹ The significance of this work is the demonstration of the quality of digitally generated pictures.

L. G. Roberts has accomplished the converse of the problem being discussed in this paper by developing techniques for the machine perception of solids which are assemblies of convex polyhedra modules.¹⁰ His work suggests the possibility that it may be more useful to analyze the contents of a photograph and to create a mathematical model of the scene. This analysis can be used to generate any view of the scene with greater graphical control.

G. Lasher has written a program which can be used to generate three dimensional graphs of mathematical functions which are unique for values of X and Y . This program, which was used to illustrate an article in theoretical physics,¹¹ generates contour curves of the surface, constant coordinate curves and renders only those curve segments that are visible in a perspective projection. A shading effect occurs in these pictures because the projection of the surface rulings tend to concentrate as the surface becomes tangent to the line of sight. This effect contributes significantly to the vividness of the renderings.

J. L. Pfaltz and A. Rosenfeld have applied their notions on encoding plane regions to shading two dimensional maps.¹² Their notion of skeleton representation is that a region can be specified by a list of points on a plane and a radius; all parts of the plane within the radius of the point are within the region described. For shading, a set of parallel straight lines are generated and those portions of the lines which be within the region are rendered. The angle and spacing of the set of parallel lines can be varied and other textures can be generated.

A vivid automatically shaded picture of a polyhedron was generated by a subroutine written by B. Archer for an article by A. T. Cole.¹³ The shading is accomplished by varying the spacing of parallel lines. The spacing of lines on a particular surface is proportional to the illumination. No attempt was made to determine the shadow cast by the polyhedron and the methods described are inadequate for drawing more than one convex polyhedra at a time.

Recently, C. Wylie, G. Romney, D. Evans, and A. Erdahl¹³ published an algorithm for generation of half-tone pictures of objects described by assemblies of triangular bounded planes. Their results are toned pictures generated with calculation time competitive with line drawings. However their scheme sets the source of illumination at the viewpoint, and since a point light source cannot see the shadows it casts, no shadows are rendered.

Previous work in the automatic determination of chiaroscuro demonstrates how the computer can improve the level of graphics designers can work with. The primary limitation has been neglect of shadow casting from arbitrarily located light sources. Also no work has been done on the control of the toned picture to take into account the surface tone or color of an object. Any system for rendering in chiaroscuro should solve economically at least these two problems. It can be seen from previous results that toning an area by varying the spacing of parallel lines is not entirely satisfactory. This technique is economic but has several disadvantages. The lines when widely spaced do not fuse to form a continuous tone. The viewer does not then perceive the object but is distracted by the two dimensional pattern. Depth perception is reduced. These lines also tend to suggest a surface finish which may not exist. A good standard for evaluating toning mechanics can be the ben-day pattern used in printing. This pattern enables a great range of dark and light with good tonal fusion. The half-tone process uses many small dots arranged in a regular array. The size of dots are varied to create a degree of grayness, small dots where white predominates are light and as the dots increase in size such that

they eventually blend together the toned region becomes darker. In order for the dot pattern not to be distracting, the dot spacing should be at least seventy dots to the inch. The large dot density required for toning indicates that calculation schemes for toning should be as resolution independent as possible. For an algorithm to be resolution independent it must enable perfect resolution. It may not be possible for contemporary hardware to take advantage of such an algorithm but this should be the goal.

Toning on a digital plotter

A great many experiments were conducted to evaluate the quality of various toning techniques that would be applicable to digital plotting. A simulation technique tested was to shoot random light rays from the light source at the scene and project a symbol from the piercing point on the first surface the light ray pierced. These symbols would concentrate in regions of high light intensity, and a negative print of the hard copy could be made which would approximate a photograph if enough light rays are generated. Even for about 1000 light rays results were splotchy. Generating light rays in regular patterns improved the graphic quality but did not allow economic tonal control. During these experiments, various symbols were evaluated for graphic quality and speed of plotter generation. The plus sign or a small square were to give best results. Eventually the best technique from graphic and economic considerations for toning was found to be plus signs arranged in staggered rows with shadows outlined. This arrangement is most easily seen in Figure 2. The size of plus signs were to be rendered proportional to darkness required.

Ignoring atmospheric diffusion, the intensity of light incident upon a unit plane area from a point light source is:

$$I = S (\text{Cosine } L) / D^2$$

where S is the intensity of the light source, L is the angle of the normal to the plane and direction of light at the illuminated area, and D is the distance from the illuminated point to the light source. For experimental purposes it was assumed that the light source is so far from the objects being illuminated that variations in L and D are insignificant. L need be calculated only once for each surface. Also since we are interested in simulating illumination only to the extent that comparative light and darkness of surfaces are displayed and also because the range of toning on the digital plotter is limited, we did not concern ourselves with the actual intensity of the single light source. The comparative intensity of illumination of a point on a plane then is proportional to $\text{Cosine } L$. The apparent illumination of a flat surface then will be constant

over the surface. The digital plotter does not generate light as a cathode ray tube but makes a dark mark. The size of this mark should indicate an absence of light. So the degree of darkness at a point or the size of plus sign rendered is

$$H^* = 1 - \text{Cosine } L$$

For simplicity it can be assumed that if a point is in shadow the largest allowable mark will be rendered on that point. For point j then, the size of symbol H_j is the maximum symbol H_s . H_s is proportional to the dot spacing. During early experiments of the size of symbols rendered on a point not in shadow was

$$H_j = 1 - \text{Cosine } L$$

However it was found that results were confusing; it was difficult to detect the difference between surfaces in shadow and surfaces almost parallel to the direction of light. In actual viewing of a solid, surfaces almost parallel to the direction of light reflect a considerable amount of light due to the surface roughness, but as soon as the surface faces away from the light source, no light can be reflected and the apparent illumination changes sharply. In order to simulate this effect a contrast factor, h , usually .8, was introduced. So then

$$H_j = h H_s (1 - \text{Cosine } L) \quad (1a)$$

if the surface point j is on faces the light source and

$$H_j = H_s \text{ if point } j \text{ is in shadow.} \quad (1b)$$

We are faced now with essentially at least four programming problems:

1. Given a viewpoint and a mathematically described scene what is the point in picture to point in scene correspondence? This problem is to determine what visible point, if any, on the objects being rendered project onto a particular point in the picture plane.
2. Given one or more light sources what is the intensity of light falling on a point in the scene? This problem includes the determination of which regions are in shadow.
3. Given a light source what are the boundaries of the shadow cast and how much of this cast shadow can be seen? If the picture could be rendered large and/or if symbol density could be large outlining the shadows could be dispensed with.
4. How can the tone or color of a surface be specified and how should this specification affect the tones rendered?

Economic solutions to the first two problems are most critical. If an economic point to point correspondence technique could be found that would permit dense symbol packing, the problem of casting shadow outlines could be eliminated. The problem of

determining how much light falls on a flat surface not in shadow is trivial, and even for curved surfaces this is not difficult, but economically determining exactly what regions of the scene are in shadow is a very difficult problem.

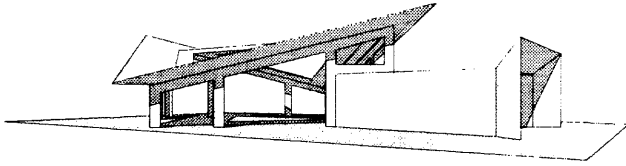


Figure 3—An assembly of planes which make up a cardboard model of a building

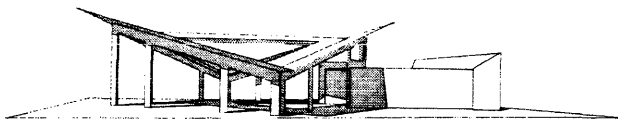


Figure 4—Another view of the building

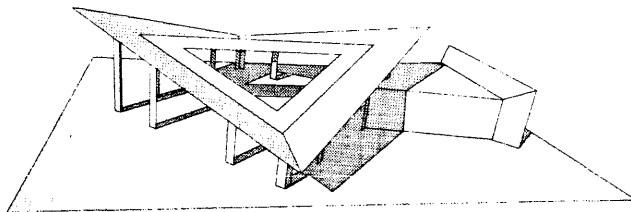


Figure 5—A higher angle view of the building. 7094 calculation time for this picture was about 30 minutes.

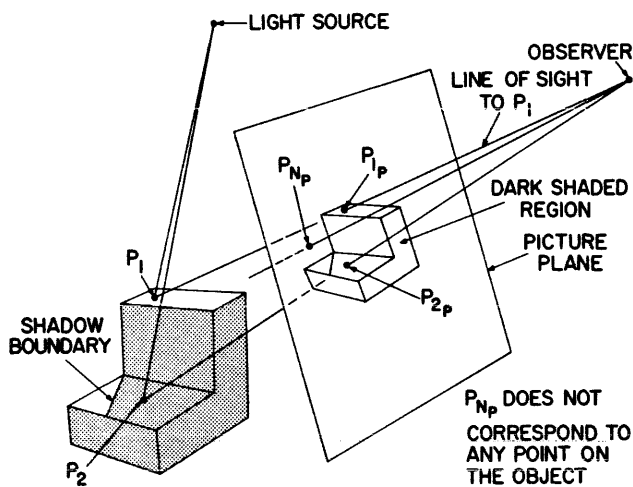


Figure 6—Point by point shading

Point by point shading

Point by point shading techniques yield good graphic results but at large computational times. These techniques are docile, require the minimum of storage

and enable easily coded graphical experimentation. Figures 3, 4, and 5 are examples of point by point shading. Referring to Figure 6, the technique in generating these pictures was as follows:

1. Determine the range of coordinates of the projection of the vertex points.
2. Within this range generate a roster of spots (P_{ip}) in the picture plane, reproject these spots one at a time to the eye of the observer and generate the equation of the line of sight to that spot.
3. Determine the first plane the line of sight to a particular spot pierces. Locate the piercing point (P_i) in space. Ignore the spots that do not correspond to points in the scene (P_{np}).
4. Determine whether the piercing point is hidden from the light source by any other surface. If the point is hidden from the light source (for example P_2) or if the surface the piercing point is on is being observed from its shadow side, mark on the roster spot the largest allowable plus sign H_s . If the point in space is visible to the light source (for example P_1) draw a plus sign with dimension H_i as determined by Equation 1.

This method is very time consuming, usually requiring for useful results several thousand times as much calculation time as a wire frame drawing. About one half of this time is devoted to determining the point to point correspondence of the projection and the scene. In order to minimize calculation time for point by point shading and maintain resolution, techniques were developed to determine the outline of cast shadows. Outlining shadows has the advantage that all regions of dissimilar tones on the picture plane are outlined. Even when projected shadows are delicate, and symbol spacing is large, the shadows are specified and the discontinuity in tone is emphasized.

The strategy for point by point determination of shadow boundaries is as follows: (Referring to Figure 7)

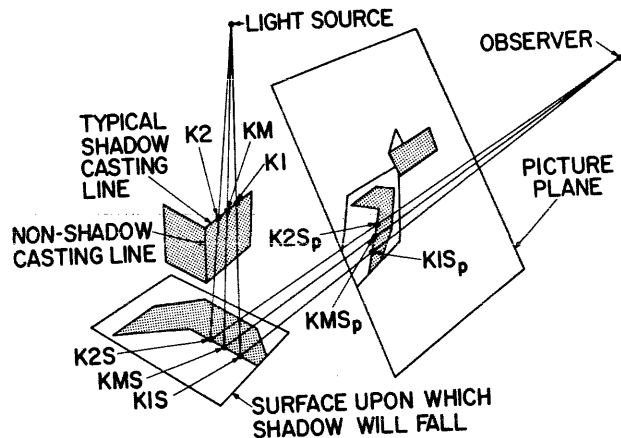


Figure 7—Segment by segment outlining of shadows

1. Classify all surface line boundaries into shadow casting and non-shadow casting. A shadow casting line is from the viewpoint of an observer at the light source a contour line. For assemblies of flat surfaces, a contour line along which all surfaces associated with this line appear on only one side of this line.
2. Determine whether the observer is on the shadow side or lighted side of all surfaces.
3. Subdivide all shadow casting lines, one at a time, into small segments (K1, K2), usually .005 units, and determine the midpoint of this segment (KM).
4. Generate a light ray to the midpoint of the segment (KM). If any surface lies between KM and the light source go on to the next segment. Determine the next surface behind KM that the light ray to KM pierces within its boundary. If no surface lies behind KM go on to the next segment. A point can cast only one shadow. Project K1, KM, and K2 onto the surface to obtain K1S, KMS, and K2S, the shadows of K1, KM, and K2. If KMS lies on a surface which is seen from its shadow side go on to the next segment. This particular shadow boundary is invisible. Also a shadow cannot fall within a shadow.
5. Test KMS for visibility. If KMS is hidden from the observer go on to the next segment.
6. If KMS is visible project the line (K1S-K2S) onto the picture plane and draw the projection.

As can be expected, determining the outline of shadows by this described strategy is very time consuming usually requiring as much time as a point by point line visibility determination.

Methods of quantitative invisibility

In a previous report, the notion of quantitative invisibility was discussed as the basis for rapidly determining the visibility of lines in the line rendering of polyhedra.⁴ P. Loutrell has implemented several tactical improvements for this application.¹⁵ Quantitative invisibility is the count of all surfaces, seen from their spatial side, which hide a line from an observer at a given point on the line.

The methods of quantitative invisibility are useful because techniques for detecting changes in quantitative invisibility along a line are more economical than measuring the visibility, absolute or quantitative, at a single point. These techniques are applicable only to *material lines* which are lines that have specific end points and that do not pierce any bounded surface within its boundary. Objects that are manufactured contain only material lines. A *contour line* is a line along which the line of sight is tangent to the surface

of the solid. For polyhedra, given a specific viewpoint, a contour line is a material line which is the intersection of two surfaces, one of which is invisible. For a given viewpoint the quantitative invisibility of a material line can change only when it passes behind a contour line. Figure 8 illustrates how quantitative invisibility varies as a line passes behind a solid. Notice that only surfaces which are viewed from the spatial side affect the measurement of quantitative invisibility. In determining line visibility for line drawings only those segments of the line for which quantitative invisibility is zero are drawn. For this application only the quantitative invisibility of vertex points are stored and changes in quantitative invisibility along a line are measured and discarded as soon as commands to the graphic device are generated. The methods of quantitative invisibility can be applied to shading a picture if the changes in quantitative invisibility of a line from the light sources and the observer are stored and compared.

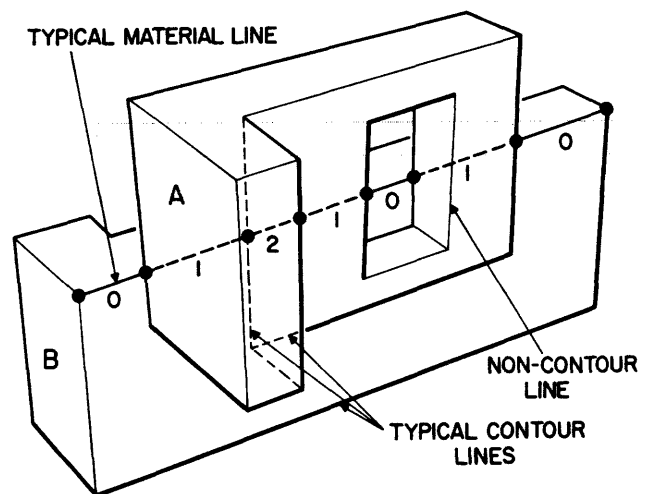


Figure 8—Changes in quantitative invisibility. Object A is in front of and does not touch object B

The method of cutting planes

In descriptive geometry, the intersection of simple quadric surfaces is determined by passing carefully chosen planes through the quadric surface to determine the intersection curve of the quadric surface and the plane; and from these first and second degree surface intersections the intersection curve of one or more quadric surfaces can be deduced. This procedure is time consuming but does solve a problem difficult for most mathematicians. This technique of manual rendering is the inspiration for the *method of cutting planes* for shading machine renderings of solids. Point by point shading techniques are expensive because

it is difficult with good resolution to correlate the shading of adjacent spots on the picture plane. With simple codings, the method of cutting planes enables such correlation in one direction, with more elaborate coding the correlation can be in all directions.

The basic concept of the method of cutting planes is that when the intersections of a plane that passes through the observation point and assemblies of planes which can enclose one or more polyhedra are projected onto the picture plane, these projected intersections are colinear. In detail, as illustrated in Figure 9, the strategy is:

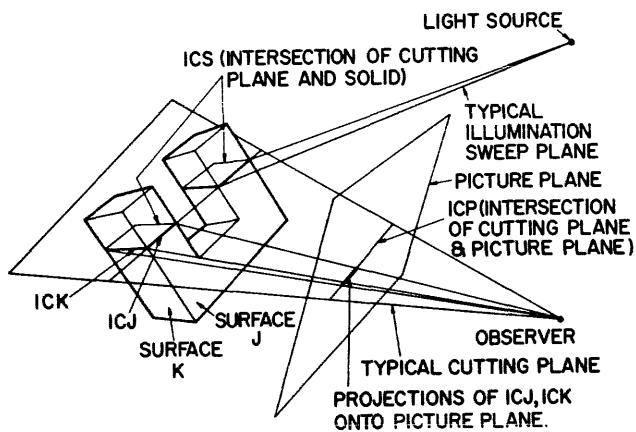


Figure 9—The method of cutting planes

1. Generate a cutting plane which passes through the observation point.
2. This cutting plane will intersect the picture plane along a specific line (ICP).
3. This cutting plane will cut or pass through the surfaces of the polyhedra and generate the intersection ICS which is a string of three or more line segments. Each of these segments is a material line (ICJ).
4. All the ICJ of the polyhedral faces and a particular cutting plane will project colinear onto the picture plane. This colinear projection is the line ICP.
5. These intersections ICJ for a particular cutting plane can then be measured for changes in quantitative invisibility by techniques previously reported^{4,15}. Those intersections ICJ which prove to be completely invisible can be quickly determined and need be analyzed no further. We have now determined a correspondence between a line on the picture plane and a series of lines in the scene to be rendered.

6. Those lines of intersection ICJ which are on surfaces which face away from the light source can be rendered with no further analysis. These lines are completely in shadow and along their visible projected length plus signs of the maximum size (H_s) can be generated.
7. Lines of intersection ICJ which are on surfaces which face toward the light source can be analyzed to determine changes in quantitative invisibility from the viewpoint of the light source. Those projected portions of the lines which are hidden from the light source are rendered by a series of plus signs of size H_s . Those portions which are visible to the light source are rendered by a series of plus signs whose size is determined by Equation 1.

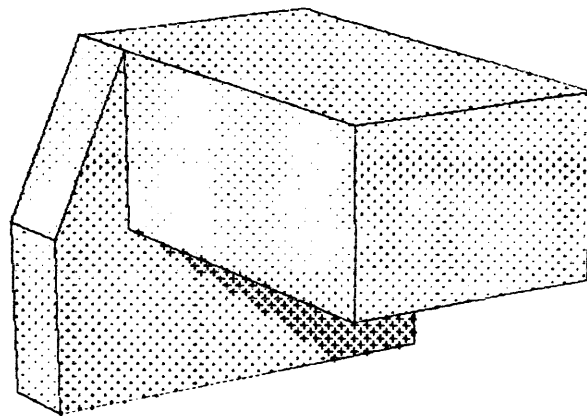
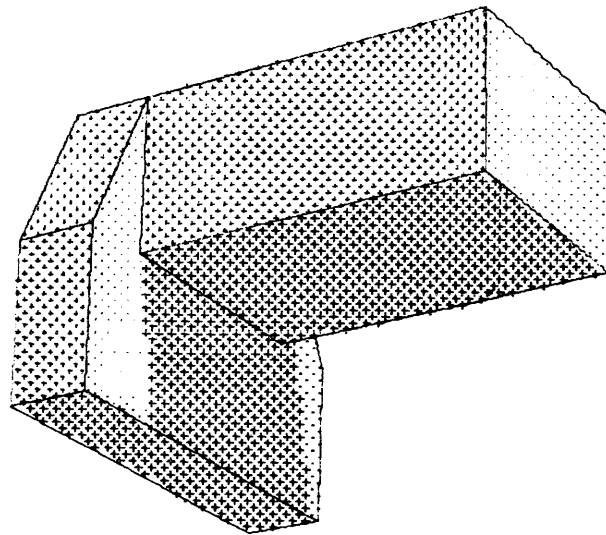


Figure 10—Two views of a machine part where the light source is moved relative to the object

The resolution of shading by the method of cutting planes is no longer limited by the spot to spot spacing on the picture plane but by the spacing of the cutting planes intersections with the picture plane. For comparable resolution the calculation time for shading by cutting planes is slightly less than the square root of the time for shading by point by point methods.

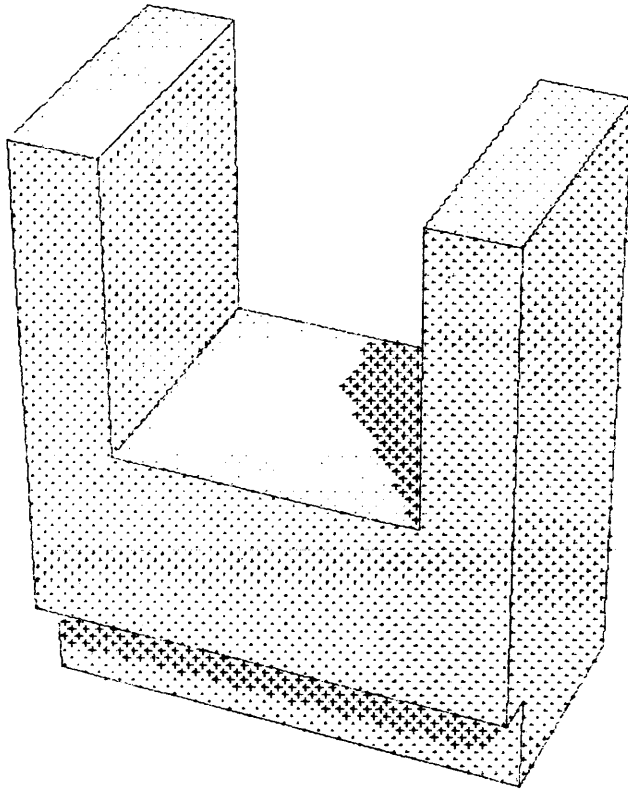


Figure 11—Another machine part. 7094 calculation time for this picture was about 30 seconds

The speed of calculation is very dependent on how effectively the measurements of quantitative invisibility of all the lines in the scene are stored and correlated. This list is the basis for determining visibility along cutting plane intersections. The first version of the Fortran IV program used to generate Figures 10 to 14 was experimental and is not as fast as theoretically expected. Pictures were plotted on an IBM 1627 (Calcomp). A faster version which can take into account more than one light source is under development for operation on a 360/67. The larger core, greater data storage capacity and time sharing capability of this machine will be utilized. The method of cutting planes which enable rapid correspondence of projected points to real points in the scene certainly includes the illumination of the object by more than one light source of differing intensities. The size of

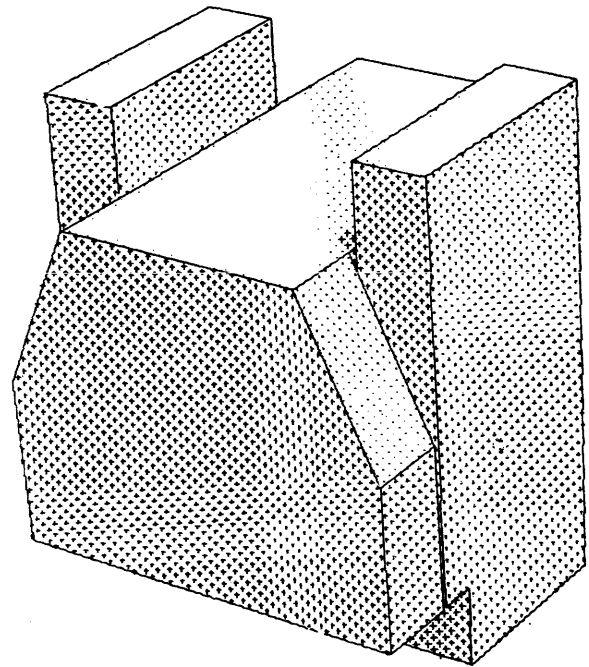


Figure 12—Assembly of the two previously drawn machine parts.
7094 calculation time: about 50 seconds.

plus signs drawn on a particular spot can be the sum of the shadow intensity from all the light sources.

$$H_{DRAWN} = \sum H_i \quad (2)$$

where H is the shadow intensity from a particular light source.

The more intense the light source, the more intense the shadow it causes when a point cannot see this source of light,

$$I_{TOTAL} = \sum I_i \quad (3)$$

where I is the intensity of the light source

$$H_{si} = I_i / I_{TOTAL} \quad (4)$$

Where H_{si} is the shadow intensity in the absence of light from light source i .

$$H_i = H_{si} \text{ when a point is in shadow}$$

$$H_i = H_{si} (1 - \cos \theta) \quad (5)$$

when a point is seen by light source i .

It is also possible to exercise tone control for emphasis while generating the half-tone picture. A list of comparative surface tones can be entered which will describe the basic tone of each surface. For example, if a scene consists of object A with four sur-

faces and object B with six surfaces and object A is lighter than object B the surface tone list would be (.5, .5, .5, .5, 1.0, 1.0, 1.0, 1.0, 1.0, 1.0). The size of the shading symbol can then be determined by

$$HT_{ik} = (H_i \times \text{FLIGHT} + \text{FTONE}) \text{TONE}_k \quad (6)$$

where FLIGHT and FTONE are influence factors of light and surface tone, and TONE_k is the relative tone

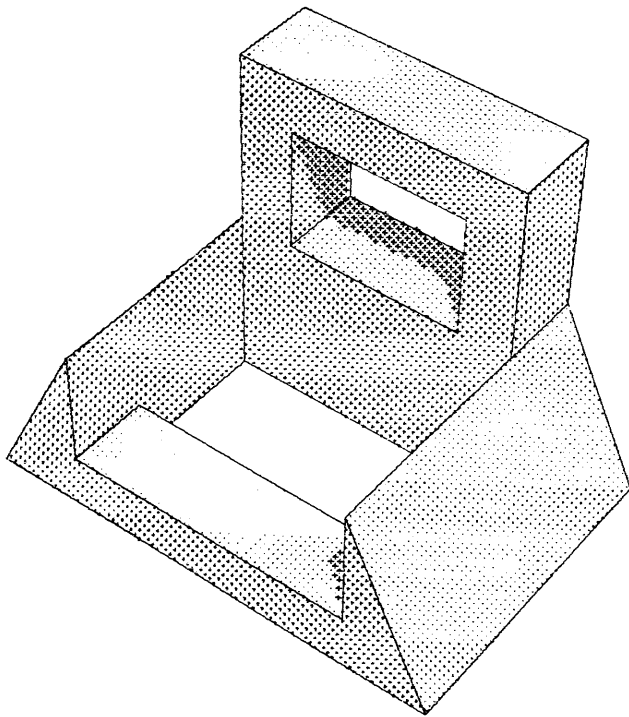


Figure 13—Another machine part

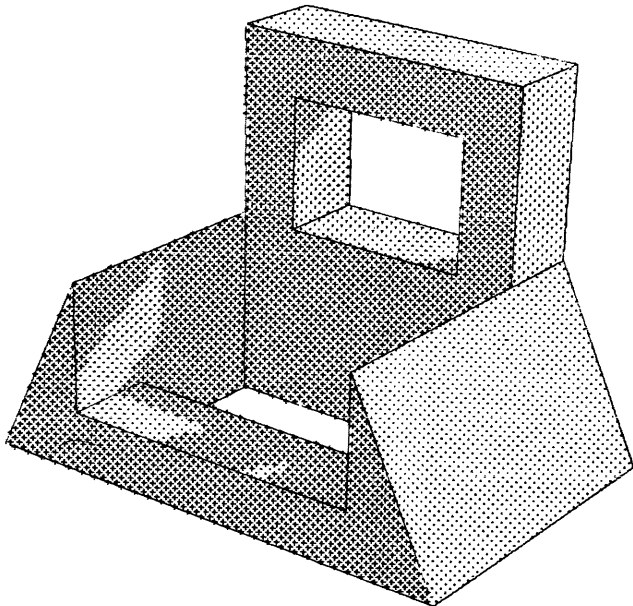


Figure 14—Another view of the machine part shown in the previous figure. The light source has been moved relative to the object. Notice the light passing through the opening in the object

of surface k . FLIGHT and FTONE enable the control of highlighting. Master copy for the preparation of color process plates for letterpress printing have been generated using mathematical models similar to equation 6. It is obvious that once the basic problems of determining how light falls on the object are solved, considerable artistic freedom is possible.

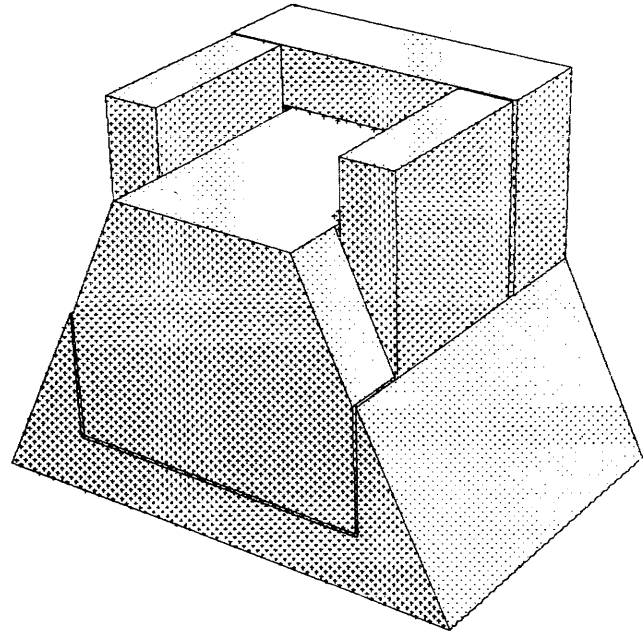


Figure 15—Assembly of the three machine parts. 7094 calculation time for this view was about two minutes

ACKNOWLEDGMENTS

The author is grateful to G. Folchi, Dr. G. Lasher, and Dr. P. Loutrell for some helpful discussions. R. L. Ennis, J. J. Gordineer, J. A. Mancini, Mr. & Mrs. E. P. McGilton, W. H. Murray, and G. J. Walsh among others were helpful with plotter output and other machine problems. The author is deeply indebted to J. P. Gilvey and F. L. Graner for their continuing support and encouragement of this project.

REFERENCES

- 1 T E JOHNSON
Sketchpad III: A computer program for drawing in three dimensions.
Proc AFIPS 1963 Spring Joint Computer Conf Vol 23 pp 347-353
2. A APPEL
The visibility problem and machine rendering of solids
IBM Research Report RC 1618 May 20 1966

- 3 P LOUTREL
Determination of hidden edges in polyhedral figures: convex case
Technical Report 400-145, Laboratory for Electrosience Research NYU September 1966
- 4 A APPEL
The notion of quantitative invisibility and the machine rendering of solids
Proc ACM 1967 Conference pp 387-393
- 5 R A WEISS
BE VISION a package of IBM 7090 Fortran programs to draw orthographic views of combinations of plane and quadric surfaces
JACM 13 April 1966 11 194-204
- 6 H R PUCKETT
Computer method for perspective drawing journal of spacecraft and rockets
Vol I No 1 pp 44-48 1964
- 7 W S HOLMES H R LELAND G E RICHMOND
Design of a photo interpretation automaton
AFIPS Conf Proceedings 1962 Fall Joint Computer Conference Vol 22 pp 27-35
- 8 R W CONN
Digitized photographs for illustrated computer output
AFIPS Conference Proceedings 1967 Spring Joint Computer Conference Vol 30 pp 103-106
- 9 Lunar Orbiter Surveys the Moon Sky and Telescope Vol 32 No 4 October 1966 pp 192-197
- 10 L G ROBERTS
Machine perception of three-dimensional solids
Technical Report No 315 Lincoln Laboratory MIT May 1963
- 11 G LASHER
Mixed state of type-I superconducting films in a perpendicular magnetic field
The Physical Review Vol 154 No 2 pp 345-348 Feb 10 1967
- 12 J L PFALTZ A ROSENFELD
Computer representation of planar regions by their skeletons
CACM Vol 10 No 2 February 1967 pp 119-125
- 13 A J COLE
Plane and stereographic projections of convex polyhedra from minimal information
The Computer Journal
- 14 C WYLIE G ROMNEY D EVANS A ERDAHL
Half-tone perspective drawings by computer
AFIPS Conf proceedings 1967 Fall Joint Computer Conference Vol 27
- 15 P LOUTRELL
Phd Thesis NYU September 1967
NYU September 1967

